

FORM PTO-1390 (REV. 1-98) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER EMU144NAT
<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371</b>		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) unknown 09/582375
INTERNATIONAL APPLICATION NO. PCT/US98/14979	INTERNATIONAL FILING DATE 20 July 1998 (20.07.98)	PRIORITY DATE CLAIMED 19 August 1997 (19.08.97)
TITLE OF INVENTION NOSCAPINE DERIVATIVES, USEFUL AS ANTICANCER AGENTS		
APPLICANT(S) FOR DO/EO/US JOSHI, Harish C.; YE, Keqiang; KAPP, Judith; LIU, Fuqiang		
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <li><input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</li> <li><input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 37 (b) and PCT Articles 22 and 39(1).</li> <li><input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> <li><input type="checkbox"/> A copy of the International Application as published (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> <li><input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> has been transmitted by the International Bureau.</li> <li><input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li><input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> <li><input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <li><input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li><input type="checkbox"/> have been transmitted by the International Bureau.</li> <li><input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li><input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).</li> <li><input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted)</li> <li><input type="checkbox"/> A translation of the annexes of the International Preliminary Examination Report under PCT Article 36</li> <li><input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.197 and 1.98</li> <li><input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li><input type="checkbox"/> A FIRST preliminary amendment.</li> <li><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li> <li><input type="checkbox"/> A substitute specification.</li> <li><input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li><input checked="" type="checkbox"/> Other items or information: Certificate of Mailing under Express Mail Label No. EL209598034US Submission of Photocopies of Transmittal Documents and Request for Entry Into National Phase Under 35 U.S.C. 371</li> </ol>		

U.S. APPLICATION NO. (if known, see 37 CFR 1.51) unknown <b>09/582375</b>		INTERNATIONAL APPLICATION NO. PCT/US98/14979		ATTORNEY'S DOCKET NUMBER EMU144NAT	
17. <input type="checkbox"/> The following fees are submitted BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):				CALCULATIONS PTO USE ONLY	
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO				\$970.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO				\$840.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2) paid to USPTO				\$760.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	04	00	X \$18.00	\$	
Independent claims	04	01	X \$78.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$260.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$	
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28)				\$	
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property				\$	
TOTAL FEES ENCLOSED =				\$	
				Amount to be refunded:	\$
				charged:	\$
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. 11-0855 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 11-0855. A duplicate copy of this sheet is enclosed.</p>					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
John S. Pratt, Esq.			SIGNATURE		
KILPATRICK STOCKTON LLP			Name: Bruce D. Gray		
1100 Peachtree Street, Suite 2800			Registration No. 35,799		
Atlanta, Georgia 30309-4530					

09/582375

526 Rec'd PCT/PTO 08 JUN 2000

IN THE U.S. RECEIVING OFFICE  
FOR THE PATENT COOPERATION TREATY

Applicants Harish C. Joshi, Keqiang Ye,  
Judith Kapp, and Fuqiang Liu

International  
Application No.: PCT/US98/14979

U.S. Serial No.: unknown

International  
Filing Date: 20 July 1998 (20.07.98)

U.S. Filing Date: 18 February 2000

For: NOSCAPINE DERIVATIVES, USEFUL AS ANTICANCER  
AGENTS

Box PCT  
Assistant Commissioner for  
Patents  
Washington, D.C. 20231  
Attention: PCT Legal

**CERTIFICATE OF MAILING (37 C.F.R. 1.10)**

Sir:

I hereby certify that this Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing under 35 U.S.C. 371, along with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below in an envelope as "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10, Mailing Label No. EL209598034US addressed to the Box PCT, Director of Patents and Trademarks, Washington, D.C. 20231, Attention PCT Legal.

  
Angela M. Rossi

Date: 08 June 2000

KILPATRICK STOCKTON LLP  
Suite 2800  
1100 Peachtree Street  
Atlanta, Georgia 30309-4530  
(404) 815-6500

09/582375

526 Rec'd PCT/PTO 08 JUN 2000

Honorable Commissioner of Patents and Trademarks Washington, D.C. 20231

Sir: The "RECEIVED" stamp on the card acknowledges receipt of the enclosed:

Applicants: Harish C. Joshi, et al.

Express Mail Label No. EL209596617US

Title: "Noscapine Derivatives, Useful as Anticancer Agents"

U.S. National Phase Entry of

Serial No. PCT/US98/14979 Docket No. EMU144NAT (E2690/199298) Filed: 18 February 2000

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing under 35 U.S.C. 371
2. Certificate of Mailing
3. Combined Declaration for Patent Application and Power of Attorney (unexecuted)
4. Statement Claiming Small Business Status
5. Copies of International Preliminary Examination Report together with amended sheets 27-31 of claims
6. Check in the amount of \$87.00

Date: 18 February 2000

Bruce D. Gray, Reg. No. 35,799

664506

418! Rec'd PCT/PTO 18 FEB 2000

IN THE UNITED STATES RECEIVING OFFICE FOR THE  
PATENT COOPERATION TREATY

Applicants: Harish C. Joshi, Keqiang Ye, Judith Kapp and Fuqiang Liu

International  
Application No. PCT/US98/14979

International  
Filing Date: 20 July 1998 (20.07.98)

U.S. SerialNo.: unknown

U.S. Filing Date: 18 February 2000 (18.02.00)

For: NOSCAPINE DERIVATIVES, USEFUL AS ANTICANCER  
AGENTS

Box PCT  
Director of Patents and Trademarks  
Washington, D.C. 20231  
Attention: PCT Legal

**SUBMISSION OF PHOTOCOPIES OF TRANSMITTAL DOCUMENTS AND  
REQUEST FOR ENTRY INTO NATIONAL PHASE UNDER 35 U.S.C. 371**

Sir:

Applicants' representative placed a call to the PCT Help Desk on June 8, 2000 to determine the status of the above-identified national phase entry. Applicants' representative was advised by Deborah Brittingham of the PCT Help Desk that no record of the filing could be found. Ms. Brittingham requested that copies of the filing that occurred on 18 February 2000 be sent. Applicants enclose copies of the following:

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing under 35 U.S.C. 371 with Certificate of Mailing
2. Unexecuted Combined Declaration for Patent Application and Power of Attorney
3. Statement Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(d)) - Nonprofit Organization
4. Notification of Transmittal of International Preliminary Examination Report

U.S. National Phase Entry of PCT/US98/14979  
Filed: 18 February 2000  
SUBMISSION OF PHOTOCOPIES OF TRANSMITTAL  
DOCUMENTS AND REQUEST FOR ENTRY INTO NATIONAL PHASE  
UNDER 35 U.S.C. 371

5. Check No. 223951 in the amount of \$87.00
6. Postcard acknowledging receipt of items 1-5 above
7. Express Mail Label No. EL209596617US stamped by the U.S. Post

Office

The undersigned certifies that the enclosed photocopies are identical to the original documents mailed to the U.S. Receiving Office on 18 February 2000.

Applicants respectfully request that the above-identified application enter the national phase of prosecution utilizing the photocopies as submitted herewith.

Respectfully submitted,



Bruce D. Gray  
Reg. No. 35,799

Dated: June 8, 2000

KILPATRICK STOCKTON LLP  
Suite 2800  
1100 Peachtree Street  
Atlanta, Georgia 30309  
(404) 815-6500

**KILPATRICK STOCKTON LLP**

WACHOVIA ACCOUNT NO.: 13 159 238

DATE: 02-17-00 PAYEE: Assistant Commissioner for

VENDOR # 24959

CHECK #: 223951

REF.#:	G/L #	INVOICE #	INVOICE DATE	DESCRIPTION	AMT.PAID
309657	20999 00000000	021700b	02-17-00	772298 Filing fee for national phase entry  <i>MATTER</i>	87.00
TOTAL					87.00

**KILPATRICK STOCKTON LLP**

OPERATING ACCOUNT  
1100 Peachtree Street  
Atlanta, Georgia 30309-4530

DATE  
02-17-00

**WACHOVIA**  
Wachovia Bank of Georgia, N.A.  
Atlanta, GA 30383

**NO. 223951**

64-1  
610

PAY EIGHTY-SEVEN AND 00/100 Dollars

\$\*\*\*\*\*87.00

TO  
THE  
ORDER  
OF

Assistant Commissioner for  
Patents

VOID AFTER 180 DAYS  
TWO SIGNATURES REQUIRED OVER \$2,000

*Rafael G. Williamson*





\*EL209596617US\*

EL209596617US



09/582375

POST OFFICE TO ADDRESSEE

<b>ORIGIN (POSTAL USE ONLY)</b>		
PO ZIP Code	Day of Delivery <input type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In Mo. Day Year	<input type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$
Time In <input type="checkbox"/> AM <input type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
Weight lbs. ozs.	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials	Total Postage & Fees \$

<b>DELIVERY (POSTAL USE ONLY)</b>		
Delivery Attempt	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Mo. Day	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Delivery Date	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Mo. Day	Time <input type="checkbox"/> AM <input type="checkbox"/> PM	Employee Signature
Signature of Addressee or Agent		
X		
Name - Please Print		
X		

<b>CUSTOMER USE ONLY</b>		<input type="checkbox"/> <b>WAIVER OF SIGNATURE (Domestic Only):</b> Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.	
METHOD OF PAYMENT: <b>X311668</b>		<input type="checkbox"/> <b>NO DELIVERY</b> <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	
Express Mail Corporate Acct. No.		Customer Signature	
Federal Agency Acct. No. or Postal Service Acct. No.			

**FROM: (PLEASE PRINT)** PHONE **404 815 6500**

**KILPATRICK STOCKTON LLP**  
**1100 PEACHTREE ST NE STE 2800**  
**ATLANTA GA 30309-4501**

**Bruce D. Gray**

**EMU144NAT** **E2690 199298**

**TO: (PLEASE PRINT)** PHONE ( )

**ASSISTANT COMMISSIONER**  
**FOR PATENTS**  
**WASHINGTON DC 20231-9999**

**BOX PCT**

**PRESS HARD.** **FOR PICKUP OR TRACKING CALL 1-800-222-1811** **www.usps.gov** **EMS**

You are making 3 copies.

Mailing Label  
Label 11-F July 199715  
FO  
T2

EL209596617US



\*EL209596617US\*

POST OFFICE TO ADDRESSEE

<b>ORIGIN (POSTAL USE ONLY)</b>		
PO ZIP Code <b>30309</b>	Day of Delivery <input checked="" type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In Mo. Day Year <b>2/18/00</b>	<input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$ <b>11.75</b>
Time In <input type="checkbox"/> AM <input checked="" type="checkbox"/> PM	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	Return Receipt Fee
Weight lbs. <b>5</b> ozs.	Int'l Alpha Country Code	COD Fee Insurance Fee
No Delivery <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	Acceptance Clerk Initials <b>SHH</b>	Total Postage & Fees \$ <b>11.75</b>

**SEE REVERSE SIDE FOR**  
**SERVICE GUARANTEE AND LIMITS**  
**ON INSURANCE COVERAGE**

<b>CUSTOMER USE ONLY</b>		<input type="checkbox"/> <b>WAIVER OF SIGNATURE (Domestic Only):</b> Additional merchandise insurance is void if waiver of signature is requested. I wish delivery to be made without obtaining signature of addressee or addressee's agent (if delivery employee judges that article can be left in secure location) and I authorize that delivery employee's signature constitutes valid proof of delivery.	
METHOD OF PAYMENT: <b>X311668</b>		<input type="checkbox"/> <b>NO DELIVERY</b> <input type="checkbox"/> Weekend <input type="checkbox"/> Holiday	
Express Mail Corporate Acct. No.		Customer Signature	
Federal Agency Acct. No. or Postal Service Acct. No.			

**FROM: (PLEASE PRINT)** PHONE **404 815 6500**

**KILPATRICK STOCKTON LLP**  
**1100 PEACHTREE ST NE STE 2800**  
**ATLANTA GA 30309-4501**

**Bruce D. Gray**

**EMU144NAT** **E2690 199298**

**TO: (PLEASE PRINT)** PHONE ( )

**ASSISTANT COMMISSIONER**  
**FOR PATENTS**  
**WASHINGTON DC 20231-9999**

**BOX PCT**

**PRESS HARD.** **FOR PICKUP OR TRACKING CALL 1-800-222-1811** **www.usps.gov** **EMS**

You are making 3 copies.

Customer Copy  
Label 11-F July 199715  
FO  
T2